

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) WIENER, JR., JACQUES L.	2. Court or Organization US COURT OF APPEALS 5TH CIRCUIT	3. Date of Report 05/02/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE 5TH CIRCUIT COURT-SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address US COURT OF APPEALS BLDG 600 CAMP STREET, ROOM 244 NEW ORLEANS, LA 70130		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	SENIOR OFFICER	COUNCIL, LOUISIANA STATE LAW INSTITUTE
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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Name of Person Reporting

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE AND TYPE

1. 2017

FISHER & PHILLIPS, LLP (ATTORNEY/PARTNER)

2. _____

3. _____

4. _____

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☐ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
1.	SEE PART VIII	SEE PART VIII	\$0.00
2.			
3.			
4.			
5.			

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. CASH:									
2. BANCORPSOUTH ACCOUNT #1	A	Interest	L	T					
3. BANCORPSOUTH ACCOUNT #3	A	Interest	J	T					
4. REGIONS BANK ACCOUNT #1	A	Interest	K	T					
5. REGIONS BANK ACCOUNT #2	A	Interest	K	T					
6. FEDERATED TAX FREE OBLIG	A	Int./Div.	L	T					
7. JP MORGAN BROKERAGE CASH BALANCE	A	Interest			Redeemed	11/06/17	M		
8. JPM TAX FREE RESV SWEEP FUND	A	Int./Div.			Sold	12/11/17	J		
9.									
10. MUTUAL FUNDS:									
11. DODGE & COX INTERNATIONAL STOCK	A	Dividend	K	T					
12. ARTISAN INTL VALUE FUND-INV	B	Dividend	K	T					
13. BBH FD INC	C	Dividend	K	T					
14. DOUBLELINE FDS TR	C	Dividend	M	T	Sold (part)	02/03/17	K		
15. ISHARES CORE S&P MID-CAP ETF	A	Dividend			Sold (part)	05/11/17	K	D	
16.					Sold	07/03/17	K	D	
17. JPM MANAGED INCOME-INSTL	D	Dividend	N	T	Sold (part)	06/05/17	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.001 - \$500,000.000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000.000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18.					Sold (part)	08/09/17	L	A	
19.					Sold (part)	09/29/17	J		
20.					Sold (part)	09/29/17	L	A	
21. JPM SHORT TERM INTERM MUNI BOND-SEL	A	Dividend	M	T	Sold (part)	02/03/17	J	A	
22.					Sold (part)	02/03/17	K		
23. JPM TR I TAX AWARE REAL RTRN FD- SEL	B	Dividend	L	T					
24. JPM US EQUITY FD-SEL	C	Dividend	K	T					
25. MFS INTL VALUE-I	B	Dividend	L	T					
26. SPDR S&P 500 ETF TRUST	D	Dividend	N	T	Buy (add'l)	02/03/17	J		
27.					Buy (add'l)	07/03/17	J		
28. ISHARES MSCI EAFE INDEX FUND	C	Dividend	M	T	Buy (add'l)	05/11/17	K		
29.					Buy (add'l)	07/03/17	K		
30. JPM GLBL RES ENH INDEX FD-SEL	A	Dividend	L	T	Sold (part)	05/11/17	K	C	
31. BROWN ADV JAPAN ALPHA	B	Dividend	K	T	Sold (part)	05/18/17	K		
32. EDGEWOOD GROWTH	A	Dividend	K	T	Sold (part)	02/03/17	J	B	
33. JPM INTERM TAX FREE	D	Dividend	N	T	Sold (part)	02/03/17	L		
34.					Buy (add'l)	04/17/17	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. AMER BCN NUM INTERGR	A	Dividend	K	T	Buy (add'l)	08/08/17	J		
36. AQR MANAGED FUTURES		None	L	T	Buy (add'l)	08/08/17	J		
37. BLACKROCK NATIONAL MUNI	D	Dividend	M	T	Buy (add'l)	02/03/17	J		
38.					Buy (add'l)	04/25/17	L		
39.					Buy (add'l)	05/31/17	J		
40.					Buy (add'l)	07/03/17	K		
41. CHILTON STRATEGIC EUROPEAN EQUITIES		None			Buy (add'l)	02/03/17	J		
42.					Buy (add'l)	08/08/17	J		
43.					Sold	10/16/17	K	C	
44. CRM LONG/SHORT OPPORTUNITIES FUND		None			Buy (add'l)	02/03/17	J		
45.					Buy (add'l)	08/08/17	J		
46.					Sold	10/16/17	K	B	
47. EATON VANCE GLOBAL MACRO	A	Dividend	K	T	Buy (add'l)	08/08/17	K		
48. EQUINOX IPM SYS MAC FDS		None	K	T					
49. HARBOR HIGH YIELD BOND	D	Dividend	M	T	Buy (add'l)	02/03/17	J		
50.					Sold (part)	07/03/17	K	B	
51. ISHARES JP MORGAN EM BOND	A	Dividend			Sold	02/03/17	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. JOHN HANCOCK INCOME	B	Dividend	L	T	Sold (part)	02/03/17	L	A	
53.					Sold (part)	07/05/17	J	A	
54. PIMCO UNCONSTRAINED BOND	B	Dividend	K	T					
55. PIMCO MTGE OPPORTUNITIES	B	Dividend	L	T	Buy (add'l)	08/08/17	K		
56. VANGUARD INTM TRM INV	A	Dividend			Buy (add'l)	02/06/17	J		
57.					Sold	04/28/17	L	A	
58. LORD ABBETT SHORT DURATION	B	Dividend	L	T	Buy	02/03/17	L		
59.					Buy (add'l)	05/31/17	J		
60.					Sold (part)	07/03/17	K		
61. ISHARES CORES MSCI EUROPE	B	Dividend	L	T	Buy	05/11/17	K		
62.					Buy (add'l)	07/03/17	K		
63. GOLDMAN SACHS EMERGING MARKETS	B	Dividend	L	T	Buy	02/03/17	L		
64. DODGE & COX INCOME	C	Dividend	M	T	Buy	02/03/17	M		
65.					Sold (part)	04/17/17	K	A	
66.									
67. STOCKS:									
68. CHEVRON CORP NEW	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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☐ NONE (No reportable income, assets, or transactions.)

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69. EXXON MOBIL CORP	C	Dividend	L	T					
70.									
71. STOCKS: UNLISTED									
72. COASTAL CLUB		None	M	W					
73.									
74. INVESTMENTS/PARTNERSHIPS:									
75. WW RURAL PROPERTIES LLC		None	K	W					
76. CENTRAL INDUSTRIAL COMPLEX		None	J	U					
77. LAMA LIMITED PARTNERSHIP		None	J	W					
78. LAMA '89 LIMITED PARTNERSHIP		None	J	W					
79. RENREW MINERALS, LTD		None	O	W					
80. TEE ENERGY, CO., LLC		None	M	W					
81. JADOBE INVESTMENTS 2000, LLC	D	Distribution	L	W					
82. JASAN, LLC	D	Distribution	M	W					
83. PROVEN LEGACY, LLC		None	M	W					
84. TENFOLD, INC.		None	J	W					
85. NEXT IGEN LLC-SERIES A		None	K	W					

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86. NEXT IGEN LLC-SERIES B		None	K	W					
87. NEXT IGEN LLC-SERIES C	D	Distribution	K	W					
88. NEXT IGEN LLC-SERIES D	E	Distribution	L	W					
89. NEXT IGEN LLC-SERIES E		None	J	W					
90. NEXT IGEN LLC-SERIES F	D	Distribution	L	W					
91. NEXT IGEN LLC-SERIES G		None	L	W					
92. NEXT IGEN LLC-SERIES H		None	L	W					
93. YETA, LLC		None	L	W					
94. DEANSAN, LLC		None	M	W	Buy (add'l)	03/28/17	J		
95.					Buy (add'l)	09/21/17	J		
96. JPM ACCESS MULTI-STRATEGY FUND		None	J	W	Sold (part)	08/07/17	L	C	
97. LOUIS ROSEN WW, LLC		None	K	W					
98. YETA GAIN, LLC		None	J	W					
99. NEXT IGEN LLC-SERIES L	F	Distribution	L	W					
100. WW URBAN PROPERTIES TWO LLC		None	J	W					
101.									
102. NOTE RECEIVABLES									

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103. ALLAIN PERSONAL LOAN-NOTE RECEIVABLE	A	Interest	J	U					
104. SPRINGMAN PERSONAL LOAN-NOTE RECEIVABLE	A	Interest	K	U					
105.									

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

RE: V-GIFTS: NONE AS TRUE GIFTS, BUT ON A RECIPROCAL BASIS-I ACCEPT INVITATIONS FOR HUNTING OR FISHING WITH FRIENDS WHO I INVITE TO HUNT OR FISH WITH ME. SOME SUCH RECIPROCAL INVITORS/INVITEE, ARE ATTORNEYS, MANY OF WHOM WERE FRIENDS AND HUNTING OR FISHING PARTNERS BEFORE I BECAME A JUDGE. I NEVERTHELESS RECUSE MYSELF WHEN SUCH FRIENDS ARE REPRESENTING CLIENTS BEFORE THIS COURT.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ JACQUES L. WIENER, JR.

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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